

Legal Entity Identifier (LEI) User Guide



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Introduction

London Stock Exchange PLC has over 20 years of experience as the UK's National Numbering Agency for assignment of International Securities Identification Numbers (ISINs) and Classification of Financial Instruments (CFIs) and was also endorsed by the Regulatory Oversight Committee (ROC) as a Local Operating Unit (LOU) for the global allocation of Legal Entity Identifiers (LEI) and are accredited by GLEIF www.gleif.org

London Stock Exchange's LEI, also known as the International Entity Identifier (IEI), is issued to legal entities according to the agreed <u>Principles</u> outlined by the ROC and GLEIF (www.gleif.org). The LEI codes will be issued and maintained via UnaVista, the London Stock Exchange Group's hosted matching and reconciliation platform

Legal Entity Identifier (LEI) Solution Overview

The LEI solution enables you to **Request and Maintain your LEI** record/s including the ability to monitor your LEI Status, view your LEI details, add documentation and fulfil **Annual Renewal** obligations.

You can also submit 10 or more LEI requests using the Bulk Request functionality and renew 10 or more LEIs using the Bulk Annual Renewal feature.

Additionally, you can search the consolidated universe of LEI data, as well as challenge a LEI record under the responsibility of the London Stock Exchange if you believe the details to be incorrect.



Registration

To access the LEI database, click the following link: <u>www2.londonstockexchangegroup.com/register-for-lei</u>. The **Registration** page will be displayed. As standard, all free services will be available upon registration. Please complete the Registration details:





Welcome Screen

When you successfully log on to the UnaVista portal, the following UnaVista Welcome screen is displayed.





Folder Data



Folder Data

Details on how to access data within the folders is explained in the Folder Data section. The Folder Data section includes the following topics; click the link to access the respective topic:

- Accessing Folders
- Apply Filters
- Remove Filters



Accessing Folders

The left pane displays a list of folders in the system. The folders available will depend on your user profile and additional subscription services. To access the contents of the folder, click on the number displayed next to the folder. The contents of the folder are displayed in the right pane.

Folder Summary	Click the numbe the respective fol selected folder is	r displaye der. The displayee	d to th conter d in rig	ne right c nts of the pht pane.	of					
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My LEI Data – This is where you can access and manage all LEI data under your user	Search LEI			1 [Active	Validated	Active	No event	CSDP	3157003LJOFUIKKTD236
account	Search	Search		2	Active	Validated	Active	No event	CSDP	3157001MP5/8G4TDVL37
	■LEI			3	Active	Validated	Active	No event	CSDP	315700JL5H5ALPU3FB30
LELD. III. Do mucht information - Contains	Consolidated Search		0.305M	4	Active	Validated	Active	No event	CSDP	315700RBEQS3HGO2LU86
LEI BUIK Request Information – Contains the LEI Buik Request Reference Data tables	- My LEi Deta	to equest information			Active	Validated	Active	No event	LEIT	81560058CDDB7312DA86
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	- Welner en / en frei frei			7	Active	Validated	Active	No event	CSDP	3157004RUN10N821N955
	UK ISIN Search			8	Active	Validated	Active	No event	GMEI	549300CGQ074RMNXZN24
Annual Renewal LEI Data – Contains all	UK ISIN Search		0.799M	9	Active	Validated	Active	No event	GMEI	549300KYBU0ETB5ZMM34
Renewal	Access SEDOL Masterfile Li	icenced Data	Here	10	Active	Validated	Active	No event	GEL	529900WTP7DASBA88096
Renewal.	COAF		11	Active	Validated	Active	No event	CSDP	315700VQHSHL033L9V70	
	LIK Corporate Action Reference	nce (COAF)		40 10	Active	Validated	Active	No event	OF	STOROGO CONSTRUCTION
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GG, JE & IM) and the respective CFI data	- Access Corporate Events D	iary	19,086 Here	13	Active	vandated	Active	No event	LEIT	815600508004/703/C23
				14	Active	Validated	Active	No event	LEIT	8156005D712824334825

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COAF – Contains details of all assigned UK

Corporate Action Reference Numbers



Apply Advanced Filters

You can narrow down the records displayed on the screen by applying filters. The UnaVista platform provides you the functionality to search and filter records based on any column. This functionality is applicable to all the screens available to you.

1. To filter the records based on column, hover the mouse over the column header, a dropdown arrow will appear next to the column name.

2. Click the drop-down arrow, a menu with different options is displayed.

3. From the drop-down menu, point to Filters, and then click the appropriate value from the drop-down list or type characters in the data string fields.

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	Opti	ons	- 💈 🏤	Challenge Record View	/ LEI Select fo	r Renewal D	elete Draft	_	/				
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				Validated	Active	No event	IEI	213800/VTATMITUGXJQ69		FRIENDS LIFE GROUP PLC			
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	66 🔲 Active Requires Annual Renewal Active				Active	No event	IEI	213800PCX/VP25N81UC09		ION ASSET ARCHITECTUR	E UK LIMITED		

The **Column Filter** is a temporary filter view that allows you to filter by value in a selected column:

 Access the column filter by clicking the downward arrow on the column header and selecting Filters

 Populate the filter according to the data type. Text values can be filtered by

- Equals
- Starts with
- Ends with
- Contains
- List filter

 Note: Filters can be applied on multiple fields

· Date values can be selected by calendar.

• Multiple Search field := can either be populated with multiple values or you can paste a list into it.

Select the Blank check box if you wish to search for blank fields or Not Blank if you wish to exclude blank fields from the search.



Remove Applied Filters

You can remove all the filters that you have applied to your data if you no longer want to view only the filtered records.

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Ор	Options 🗸 🤣 🍙 Challenge Record View LEI Select for Renewal Delete Draft												
		LEI Status	LEI Event	Entity Status	Entity Event	-L	.0U	LEI		OfficialEntityName 重			
47	✓	Active	Validated	Active	No event	IEI			G96	"LAKTO" ÁLLATTENYÉSZTÉSI TERMÉKELŐÁLLITÓ,-I			
48		Active	Validated	Active	No event	IEI	1	Drilldown	F81	"MANAX" MEZŐGAZDASÁGI SZOLGÁLTATÓ, TERM			
49		Active	Validated	Active	No event	IEI		Remove This Filter	R 23	"MARGITTA-SZIGET 92" MEZŐGAZDASÁGI TERMEL(
50		Active	Validated	Active	No event	IEI		Remove All Filters	≽81	"MOGYI" KERESKEDELMI KORLÁTOLT FELELŐSSÉG			
51		Active	Validated	Active	No event	IEI		21300020027373736FRC	061	"NAPKORI ERDŐGAZDÁK" TERMELŐ ÉS SZOLGÁLT.			
52		Active	Validated	Active	No event	IEI 213800N3SMYID82R9H49 "OLIVIA" ÉLELMISZERFELDOLGOZÓ KORLÁTOLT F							
50		0	Q = Balaka al	0 -41	bla arread	151			40				

If a filter is applied to only one column then, right-click in the column to which the filter is applied. A menu is displayed, click the **Remove This Filter** option.

	😑 List	t - LEI		1	If multiple filters are applied.	then						
	Options	- 🕏 🏤	Challenge Re		click the Remove All Filters							
		LEI Status	LEI Event	Entity Status	Entity Event		OU LEI		OfficialEntityName 💰		option from the menu.	
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	50	Active	Validated	Active	No event	IEI	🔜 Remove All Filters	81	"MOGYI" KERESKEDELMI KORLÁTOLT FELELŐSSÉG			
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	52 🔳	Active	Validated	Active	No event	IEI	213800N3SMYID82R9H49	9	"OLIVIA" ÉLELMISZERFELDOLGOZÓ KORLÁTOLT FE			
l	70 E	0 -41	OLEMAN A	0 -41	NI	171			HEREAU TERMEL & ÉC VEREOVER & VORL Á TOLITIELU			

Note: If you use the advance filters for your initial search, you cannot request an LEI from this page.



LEI – Requesting & Managing Records



LEI Record Management

The LEI Record Management section includes the following topics, click the link to access the respective topic:

- Search LEI Record(s)
- <u>View LEI Record Details</u>
- Manage your LEI Request(s)
- Requesting an LEI
- Pay and Submit LEI Request
- Annual Renewal Request
- Bulk Request Information
- Bulk Annual Renewal Request
- <u>Challenging an LEI Record</u>



Search LEI Record(s)

The **Search** facility in the **Navigation Settings** region enables you to search the database for an existing LEI. The applicable LEI matches are displayed in the right hand panel from the **LEI Consolidated View** folder.

Type part of the entity name you wish to search an LEI code for in the Search field, and press ENTER or click the Search button.							Entities the be display LEI will als	at contain th ed in the rig so be display	he searched word will ht pane. The relevant yed.			
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LEI A	3	ISSUED	Validated	Active	No event	IEI	213800D1EI4B9WTWWD28	LONDON STOCK E	XCHANGE PLC			
ELEI Consolidated Search 1.46M	4	ISSUED	Validated	Active	No event	IEI	21380054EH6ROMPQIP65	LONDON STOCK E	XCHANGE GROUP HOLDINGS LIMITED			
- 🥁 My LEI Data 0	5	ISSUED	Validated	Active	No event	IEI	2138006O1CCNIBZVCL19	LONDON STOCK E	XCHANGE GROUP PENSION SCHEME - LCH S	ECTION		

You will notice that following return of search results, the **Request LEI** button will be displayed to the upper right corner of the page. Click this button to submit a request for a LEI.

For more details, please refer to the <u>Request a LEI</u> topic of this user guide.



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Type part of the entity name you wish to search an LEI code for in the Search field, and press ENTER or click the Search button.			e searched word will ht pane. The relevant yed.									
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LEI 🔺	3	ISSUED	Validated	Active	No event	IEI	213800D1EI4B9WTWWD28	LONDON STOCK E	XCHANGE PLC			
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For more details, please refer to the <u>Request a LEI</u> topic of this user guide.



Manage your LEI Request(s)

You can manage your LEI records, including making payments to submit your request, in your **My LEI Data** folder. To view your LEI requests, click on the **number** that is displayed next to the **My LEI Data** folder. Your LEI request(s) will be displayed in the right hand panel.





Requesting an LEI

Requesting an LEI is a 3 step process: 1. Search LEI database 2. Complete Request LEI template 3. Submit Credit Card payment

Before you submit a request for an LEI, you must search the LEI database to see if an LEI already exists (see point 1 below). For more details on how to search an LEI, please refer to the <u>Search LEI Record(s</u>) topic in this user guide.

If the searched LEI exists in the system, it will be displayed in the right hand panel from the LEI Consolidated View tab.

If you have more than 10 LEI requests to submit, please use the Bulk Request Information feature.

1. Search fo Navigation This will return the LEI Conso <i>See 'London S</i>	r the entity name w n settings. potential matches v blidated View. Stock' as an example	ithin within e below				2. If the The F displa	no match is found, to request a ew LEI, click the Request LEI outton. Request LEI button will only be hyed following a search for an LEI.		
File ▼ Navigation ▼ Tools ▼ Help ▼	📓 Home 🛛 🔄 [Data Po	rtal] LEI : London	Stock 🗵						
Navigation Settings	EI Consolidated View	1							
Domain: Data Portal	Options 🔹 Filters 🔹 🤣	Dptions • Filters • 🤣 🎲 Challenge Record View LEI Select for Renewal							
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El Consolidated Search 1.46M	4 🔲 ISSUED	Validated	Active	No event	IEI	21380054EH6ROMPQIP65	LONDON STOCK EXCHANGE GROUP HOLDINGS LIMITED		
- 😹 My LEI Data 0	5 📄 ISSUED	Validated	Active	No event	IEI	2138006O1CCNIBZVCL19	LONDON STOCK EXCHANGE GROUP PENSION SCHEME - LCH SECTION		

Once you click the **Request LEI** button, a new window is opened as shown on pages <u>10 -11</u> enabling you to submit a request for a new LEI. To submit the payment so the LEI request can be validated please see page <u>12</u>



Requesting an LEI

The Create screen enables you to complete and submit the different details related to the new LEI request that you want to create.

1. Complete all the mandatory fields. The mandatory fields are highlighted in red.		Confirm Authori Confirm Unthorised Entity Name and Kinel Entity Iame Ulternate Entity Iame egal Formation Country egal Form ()	ation No Legal Form Entity Category Silo Entity Legal Form Form V Silo Entity Legal V	N/A v OTHER - Please Specify v	Upload Authorisation Form () Registration Business Registration Authority Entry D () Website	Authority	Document		3. Upload Authorisation Form if you are a third party applying for an LEI on behalf of the Legal Entity.
2. Tips are provided for all the fields. To view the Tip,		Headquarters Ac ddress Homber ine Governor City Postcode/ZIP Other Address Other Address	dress Unit Number County/State () V Region () Mail Routing	v	Legal Forma Address Numbel Line 1 () Line 2 () Town/City () Country () Postcode/ZIP (Copy Address () Vother Addres	Sion Address	Unit Number		Upload supporting Document such as Fund prospectus, Trust deed, Articles of
hover your mouse or click icon.		DirectParent Parent Name () R Exception Reason telationship Type Qualifier Category IQ Address Line	 ✓ Validation Documents ✓ Upload Parent ✓ Upload Parent Legal Aldress Line 1 		UltimatePart Parent Name OR Exception Rease Relationship Ty Qualifier Category HQ Address Line 1	nt 	Validation Ocuments Updaad Utimate Logal Address Logal Address Logal Address	* * *	this information, if this information is not publically available on a Registration
Related Identifiers can be provided to assist in		IQ City IQ Country IQ Region IQ Post Code Copy Address () Stration Lutho	Legal Cry Legal Country Legal Region Legal Post Code Register Entity ID 15	v v	HQ City HQ Country HQ Region HQ Post Code Copy Address Registration Authority		Legal Country Legal Region Legal Region Legal Region Register Entity ID		Note: You can add multiple documents once you have
validation process.	Requ	uest wi	ll only be completed once yo	ou make a payment.	Carcel 4. You ope	Complete all the mand button. I will notice that the Cre n the screen. However,	atory fields and click the Cre ate button is disabled when it will be enabled once all th	eete	Please refer to the <u>Manage your LEI</u> <u>Request</u> topic.



Enter LEI Data

The LEI data has two main sections, the LEI Entity data and the LEI Parent data. Both sections need to be completed before you can request a LEI.

The LEI Entity data in the first section of the create form consists of information about your entity such as the name, type of entity, registry details and address details (headquarters address and legal/registered address).

The LEI Parent data or Level 2 data is information of your entity's **direct and ultimate parent** as per accounting consolidating standards.

- Select Parent Name from the drop down list if the Parent has as LEI.
- If Parent does not have a LEI yet, enter the full name of the Parent and complete all fields including address and registry details of the Parent. (*Alternatively apply for the Parent LEI, if required*).
- If a Parent does not exist or cannot be disclosed, choose 'N/A' from the drop down and complete the Exception Reason field.

Please see the LEI Level 2 Data

Help Sheet for further information.

Confirm Authorisation	
Confirm Upload	×II
Authorised () Form ()	
Entity Name and Legal Form (a Registration Authority	
Official Entity Country of	
Name 0 Business Business	×
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Anglicised Entity Authority Authority	
Name Registration Authority Entry	
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Legal Form 🕦 Website Document 🚯	× E
Resolution Minor	
Address Number Unit Number Unit Number Unit Number Unit Number Num	
Line 2 0	
Town/City @ County/State @ Town/City @ County/State @	
	v
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Other Address Vother Address Vother Address	
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Exception Reason Exception Reason	
Relationship Type Validation Validation Validation Comments	¥
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HQ City Legal City Legal City	
HQ Country V HQ Country V HQ Country Legal Country Legal Country	v
HD Region V Logal Region V HO Region V Logal Region	*
H0 Post Code H0 Post Code H0 Post Code	
Conv Address 0	
Authority Authority Authority	
Related Identifiers	
ISIN () BIC ()	~
FRN Ø	

GLEIF Link on Level 2 Data:

https://www.gleif.org/en/lei-data/access-and-use-lei-data/level-2-data-who-owns-whom

LEI ROC Policy on Level 2 Data:

https://www.gleif.org/en/lei-data/access-and-use-lei-data/level-2-data-who-owns-whom/lei-roc-policy-on-level-2-data



Pay and Submit LEI Request

The My LEI Data folder enables you to make payments and submit your LEI requests. To make a payment, please follow the below 7 steps:

Navigation Settings Domain: Data Portal View As: Silvia Dias Search: LEI LEI Search Search	 Click the NUMBER to the right of the My LEI Data folder. Select the check box next to the record for which you need to make a payment Click the Submit Card Pymnt button. Click the Submit Card Pymnt button. Chose the VAT option that applies to you from the VAT screen as shown below. Accept the Terms and Conditions to continue to the Payment Details screen as shown below:
LEI Consolidated Search 0.305M My LEI Data LEI Bulk Request Information 3 LEI Daily Export Files 1,287	Options Submit Card Pympi Challenge Record View LEI Set Docs Requestor LEI Status LEI Event One or more of the following is true for the selected rows: Docs Requestor LEI Status LEI Event By clicking "yes" to continue your submission, you are thereby accepting the LEI Terms and Conditions of Issue. Are you sure you want to continue? No
6. Enter the VAT number of the company you work for OR chose one of the three options	Payment Details Payment Reference: LEIN047262019090311240898365 Amount: 7. Enter your credit card details and click the Continue button to proceed with the payment. The Payment Status screen is displayed as shown below:
VAT exempt (EU Company): Statutory body (EU company): VAT N/A (Non-EU Company): OK Cancel	CREDIT / DEBIT CARD

Note: On payment submission you will receive an email response confirming the status of your payment. Once your LEI request is validated or if more information is required, you will be contacted by an email. If no email is received, your payment may not have been processed, please contact lei@lseg.com if this is the case



Annual Renewal Request

Every year you need to revalidate your LEI. As a reminder, an automated email will be sent to you 60 days prior to your renewal. The UnaVista portal allows you to access your LEI Renewal records from your **My LEI Data** folder.





Annual Renewal Request continued



Once the validation checks are completed and the LEI annual renewal approved, you will receive an email which will include the LEI details with the new renewal date and an Invoice of payment. The LEI Status will change to Active and the LEI Event will display Validated.



Bulk Request Information

The Bulk Request feature enables you to submit 10 or more LEI requests at a time. For more information on Bulk Request, please refer the LEI Bulk Request User Manual available in the LEI Bulk Request Information folder.

 To access the LEI Bulk Request details, click on the number displayed next to the LEI Bulk Request Information folder. The LEI bulk request details are displayed in the right pane. 2. Information on Bulk Request is covered in the LEI Bulk Request User Manual.

To access the user manual, click the **Download File** icon.

You can also access the LEI Bulk Request Template using the **Download file** icon.



3. Download the LEI Request Ref Data files required to populate some of the data fields



Bulk Annual Renewal Request

Every year you need to revalidate your LEI. As a reminder, an automated email will be sent to you 60 days prior to your renewal. The Bulk Annual Renewal feature enables you to request annual renewal for bulk uploaded LEIs or if more than 10 LEIs need renewal at a same time.





Bulk Annual Renewal Request continued

- Once you accept the Terms and Conditions, an email will be sent to you confirming that the LEI records are selected for renewal. You have two options to submit 5. the bulk renewal request, either by:
 - a. Using the Submit Bulk Renewal Button
 - b. Using the Bulk Renewal Template

Option	ns 🕶 🛛 🗲	ائ خ	Submit SPA Request	Submit Card Pymnt Submit	: Bulk Request 📔 🔇			I Select for Renewal	Annual Renewal Card Pymnt	Submit Bulk Renewal	Submit using the Submit Bulk Renewal
] 🔯	Docs	LEI Status 1	LEI Event	Entity Status	Entity Event	LOU	OfficialEntityName	LEI		Button
1 🔽	- 😡	1	ISSUED	Eligible for Renewal	Active	No event	IEI	TESTCREATE16	UA'	ITESTLEI121746554	a. Click the Submit Bulk Renewal
2			ISSUED	Validated	Active	No event	IEI	TESTCREATE12	UA'	TTESTLEI119030881	button to submit the renewal request
3 🔽			ISSUED	Eligible for Renewal	Active	No event	IEI	TESTCREATE13	UA'	TTESTLEI119030882	via the interface.
4 🔽	1 🐶		ISSUED	Eligible for Renewal	Active	No event	IEI	TESTCREATE14	UA'	TTESTLEI119030883	You can also change the relevant details
5 🔽			LAPSED	Requires Annual Renewal	Active	No event	IEI	TESTCREATE15	UA ⁻	TTESTLEI119030884	prior to submission by clicking the Edit
											record icon.

Using Bulk Renewal Template

- b. The Bulk Renewal Template will be sent to you via an email. If you need to make any changes to your LEI records, then make the changes in the template, and send it to LEI@lseg.com
- Once the LEI requests are validated by us, you will receive an email confirming that the requests are validated and your invoice will follow shortly. 6.



Challenging an LEI Record

Any user can challenge an LEI record if they believe that the details submitted are incorrect. You can only challenge the LEI records that are currently held by the London Stock Exchange LEI Limited within our system. For other LEIs you can challenge at www.gleif.org

Navigation Settings	📰 LEI Consolidated View			
Domain: Data Portal View As: Stephen Munro V	Options 🔹 Filters 🔹 🤹 Cha	allenge Record View LEI Select for Renewal		Select the record, that you want to
Constant Internet O	LEI Status LEI Event Entit	ity Status Entity Event LOU LEI	OfficialEntityName	challenge by clicking the check
	1 🔽 ISSUED Validated Activ	ive No event IEI 213800D1EI4B9WTWWD28	LONDON STOCK EXCHANGE PLC	box next to the record.
london stock exchange Search				
LEI			2.	Click the Challenge Record
🖯 🍓 LEI Consolidated Search 1.46M				button. The Additional Field(s)
- 😹 My LEI Data 0				below.
LEI Bulk Request Information 3				
Additional Field(s)	×		N	ote: The Challenge Record button
User Input			wi	ill be enabled only when you select a
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File: Choose File No file chosen				
OK Cancel				

Once you submit the challenge, you will receive an email confirming the challenge submission. A response to the Challenge will be received within three working days of submission.



Contact Us

Full operational support for LEI requests is available from 09:00 to 17:00, UK business days.

Contact details are as follows:

LEI Customer Support

For further information: www.lseg.com/lei

Telephone: +44 (0)207 797 3300

Email: lei@lseg.com